NASA National Aeronautics and Space Administration	**Disclosure of Invention and New Technology (Including Software)**	**Form Approved O.M.B. NO. 2700-0009**	DATE
		CONTRACTOR CASE NO.	

This is an important legal document. Carefully complete and forward to the Patent Representative (NASA in-house innovation) or New Technology Representative (contractor/grantee innovation) at NASA. Use of this report form by contractor/grantee is optional; however, an alternative format must at a minimum contain the information required herein. NASA in-house disclosures should be read, understood and signed by a technically competent witness in the witness signature block at the end of this form. In completing each section, use whatever detail deemed appropriate for a "full and complete disclosure." Contractors/Grantees please refer to the New Technology or Patent Rights – Retention by the Contractor clauses. When necessary, attach additional documentation to provide a full, detailed description.

NASA CASE NO. (OFFICIAL USE ONLY)

1. DESCRIPTIVE TITLE

2. INNOVATOR(S) *(For each innovator provide: Name, Title, Phone Number, E-mail Address, and Home Address. For non U.S. citizens, include INS Form I-551 No. and expiration date. If multiple innovators, number each to match Box 5.)*

3. INNOVATOR'S EMPLOYER WHEN INNOVATION MADE *(For each innovator provide: Name, Division and Address of Employer, Organizational Code/Mail Code, and Contract/Grant Number if applicable. If multiple innovators, number each to match Box 5.)*

4. PLACE OF PERFORMANCE *(Address(es) where innovation made)*

5. EMPLOYER STATUS *(choose one for each innovator)*

_____ Innovator #1   _____ Innovator #3

_____ Innovator #2   _____ Innovator #4

GE = Government
CU = College or University
NP = Non-Profit Organization
SB = Small Business Firm
LE = Large Entity

6. ORIGIN *(Check all that apply and provide all applicable numbers. If multiple Contracts/Grants, etc., list Contract/Grant Numbers in Box 3 with applicable employer information.)*

☐ NASA In-house Org. Mail Code _____   UPN _____
☐ Grant/Cooperative Agreement No. _____   UPN _____
☐ Prime Contract No. _____   UPN _____
   Task No. _____   Report No. _____
☐ Subcontractor;   Subcontract Tier _____   UPN _____
☐ Joint Effort *(contractor, subcontractor and/or grantee contribution(s), and NASA in-house contribution)*
☐ Multiple Effort *(multiple contractor, subcontractor and/or grantee contributions, no NASA in-house contribution)*
☐ Other *(e.g., Space Act Agreement, MOA)* No. _____   UPN _____

7. NASA CONTRACTING OFFICER'S TECHNICAL REPRESENTATIVE *(COTR)*

8. CONTRACTOR/GRANTEE NEW TECHNOLOGY REPRESENTATIVE *(POC)*

9. BRIEF ABSTRACT *(A general description of the innovation which describes its capabilities, but does not reveal details that would enable duplication or imitation of the innovation.)*

SECTION I – DESCRIPTION OF THE PROBLEM OR OBJECTIVE THAT MOTIVATED THE INNOVATION'S DEVELOPMENT *(Enter as appropriate: A. – General description of problem/objective; B. – Key or unique problem characteristics; C. – Prior art, i.e., prior techniques, methods, materials, or devices performing function of the innovation, or previous means for performing function of software; and D. – Disadvantages or limitation of prior art.)*

SECTION II – TECHNICALLY COMPLETE AND EASILY UNDERSTANDABLE DESCRIPTION OF INNOVATION DEVELOPED TO SOLVE THE PROBLEM OR MEET THE OBJECTIVE *(Enter as appropriate; existing reports, if available, may form a part of the disclosure, and reference thereto can be made to complete this description: A. – Purpose and description of innovation/software; B. – Identification of component parts or steps, and explanation of mode of operation of innovation/software preferably referring to drawings, sketches, photographs, graphs, flow charts, and/or parts or ingredient lists illustrating the components; C. – Functional operation; D. – Alternate embodiments of the innovation/software; E. – Supportive theory; F. – Engineering specifications; G. – Peripheral equipment; and H. – Maintenance, reliability, safety factors.)*

SECTION III – UNIQUE OR NOVEL FEATURES OF THE INNOVATION AND THE RESULTS OR BENEFITS OF ITS APPLICATIO N *(Enter as appropriate: A. – Novel or unique features; B. – Advantages of innovation/software; C. – Development or new conceptual problems; D. – Test data and source of error; E. – Analysis of capabilities; and F. – For software, any re-use or re-engineering of existing code, use of shareware, or use of code owned by a non-federal entity.)*

SECTION IV – SPECULATION REGARDING POTENTIAL COMMERCIAL APPLICATIONS AND POINTS OF CONTACT *(Including names of companies producing or using similar products.)*

10. ADDITIONAL DOCUMENTATION *(Include copies or list below any pertinent documentation which aids in the understanding or application of the innovation (e.g., articles, contractor reports, engineering specs, assembly/manufacturing drawings, parts or ingredients list, operating manuals, test data, assembly/manufacturing procedures, etc.).)*

TITLE	PAGE	DATE
_____	_____	_____
_____	_____	_____

11. DEGREE OF TECHNOLOGY SIGNIFICANCE *(Which best expresses the degree of technological significance of this innovation?)*
☐ Modification to Existing Technology ☐ Substantial Advancement in the Art ☐ Major Breakthrough

12. STATE OF DEVELOPMENT
☐ Concept Only ☐ Design ☐ Prototype ☐ Modification ☐ Production Model ☐ Used in Current Work

13. PATENT STATUS (Prior patent on/or related to this innovation.)

☐ Application Filed   Application No. _____   Application Date _____

☐ Patent Issued   Patent No. _____   Issue Date _____

14. INDICATE THE DATE OR THE APPROXIMATE TIME PERIOD WHICH THIS INNOVATION WAS DEVELOPED *(i.e., conceived, constructed, tested, etc.)*

15. PREVIOUS OR CONTEMPLATED PUBLICATION OR PUBLIC DISCLOSURE INCLUDING DATES *(Provide as applicable: A. – Type of publication or disclosure, e.g., report, conference or seminar, oral presentation; B. – Disclosure by NASA or Contractor/Grantee; and C. – Title, volume no., page no., and date of publication.)*

16. QUESTIONS FOR SOFTWARE ONLY

(a) Using non-NASA employees to beta-test the program? ☐ YES ☐ NO   If Yes, done under a beta-test agreement? ☐ YES ☐ NO

(b) Modification of this program continue by civil servant and/or contractual agreement? ☐ YES ☐ NO

(c) Copyright registered? ☐ YES ☐ NO ☐ UNKNOWN   If Yes, then by whom? _____

(d) Has the latest version been distributed outside of NASA or contractor? ☐ YES ☐ NO ☐ UNKNOWN
    If Yes, date of first disclosure: _____

(e) Were prior versions distributed outside of NASA or Contractor? ☐ YES ☐ NO   If Yes, supply NASA or contractor contract:_____

(f) Contains or based on code not owned by U.S. Government or its contractors? ☐ YES ☐ NO ☐ UNKNOWN
    If Yes, name of code and code's owner: _____
    Has a license for use been obtained? ☐ YES ☐ NO ☐ UNKNOWN

17. DEVELOPMENT HISTORY

STAGE OF DEVELOPMENT	DATE (MM/YYYY)	LOCATION	IDENTIFY SUPPORTING WITNESSES (NASA in-house only)
a. First disclosure to others			
b. First sketch, drawing, logic chart or code			
c. First written description			
d. Completion of first model of full size device *(invention)* or beta version *(software)*			
e. First successful operational test *(invention)* or alpha version *(software)*			
f. Contribution of innovators *(if jointly developed, provide the contribution of each innovator)*			
g. Indicate any past, present, or contemplated government use of the innovation			

18. SIGNATURES OF INNOVATOR(S), WITNESS(ES), AND NASA APPROVAL

TYPED NAME AND SIGNATURE *(Innovator #1)*	DATE	TYPED NAME AND SIGNATURE *(Innovator #2)*	DATE
TYPED NAME AND SIGNATURE *(Innovator #3)*	DATE	TYPED NAME AND SIGNATURE *(Innovator #4)*	DATE
TYPED NAME AND SIGNATURE *(Witness #1)*	DATE	TYPED NAME AND SIGNATURE *(Witness #2)*	DATE
NASA APPROVED ► TYPED NAME		SIGNATURE	DATE